

ATTACHMENT-J

**DBE SEMI-ANNUAL
REPORTING FORM**

MaineDOT Disadvantaged Business Enterprise Prime Semi-Annual Payment Report Form

CONTRACTOR/CONSULTANT _____

FEDERAL PROJECT # _____ LOCATION _____

Return by Mail: MaineDOT, HR, DBE Program, 16 State House Station, Augusta, ME 04333-0016 Fax: 207-624-3051

INDICATE BY ✓ IN BOX APPLICABLE REPORTING PERIOD:

1st HALF - OCTOBER 1 - MARCH 31 ER ☐ DUE APRIL 7

2nd HALF - APRIL 1 – SEPTEMBER 30 ☐ DUE OCTOBER 7

FIRMS WITH MaineDOT CONTRACTS MUST COMPLETE THIS SEMI-ANNUAL PAYMENT REPORT FORM FOR EACH PROJECT. FAILURE TO REPORT WILL BE CONSIDERED A BREACH OF YOUR CONTRACT AND WILL RESULT IN SANCTIONS.

SECTION A. INDICATE ALL NON DBE SUBCONTRACTORS UNDER CONTRACT ON THIS PROJECT DURING THIS REPORTING PERIOD. CHECK IF LOW BIDDER, IF NOT, INDICATE WHY NOT.

SECTION B. ANSWER ACCORDINGLY.

SECTION C. INDICATE DBE FIRMS USED THIS REPORTING PERIOD, INCLUDE CREDIT LEVEL, IF LOW BIDDER, AND TOTAL \$\$ AMOUNT PAID TO EACH FIRM DURING THIS REPORTING PERIOD.

SECTION B.

1. INDICATE BY % HOW OFTEN THIS FIRM AWARDS SUBCONTRACTS ON BASIS OF LOW BID.

____ 100% If less than 100%, explain method used: _____

2. PRIME SOLICITS DBE QUOTATIONS ONLY FOR MaineDOT JOBS. ____ YES ____ NO

If yes, explain: _____

3. IF PRIME USES DBEs OTHER THAN FOR MaineDOT PROJECTS, INDICATE.

____ YES ____ NO (____ Private, ____ Turnpike, ____ Municipal, ____ Other, _____)

4. THIS PRIME IS A DBE CONTRACTOR/CONSULTANT. ____ YES ____ NO

5. THIS PRIME'S EQUAL OPPORTUNITY OFFICER IS:

NAME _____

TEL. NUMBER () _____ FAX: _____

SECTION A. Identify Non-DBE Firm Used	✓ Low Bid	If Not Low Bidder, Explain.	Amount Paid

SECTION C.

✓ APPLICABLE

**NAME OF
DBE FIRMS UTILIZED
THIS REPORTIN PERIOD**

**W D
B B
E E**

**USE * CODE BELOW TO
IDENTIFY SCOPE OF
WORK PROVIDED**

**CREDIT LEVEL
OF WORK SERVICE**

**AMOUNT PAID
THIS REPORTING PERIOD**

<p>□</p>				<p>___ Manufacturer 100%</p> <p>___ Subcontractor/consultant 100%</p> <p>___ Regular dealer FEE ONLY</p> <p>___ Trucking</p> <p>___ *Supplier 60%</p> <p>* Identify total value of work</p> <p>\$</p>	<p>\$</p>
<p>□</p>				<p>___ Manufacturer 100%</p> <p>___ Subcontractor/consultant 100%</p> <p>___ Regular Dealer FEE ONLY</p> <p>___ Trucking</p> <p>___ *Supplier 60%</p> <p>*Identify total value of work</p> <p>\$</p>	<p>\$</p>
<p>□</p>				<p>___ Manufacturer 100%</p> <p>___ Subcontractor/consultant 100%</p> <p>___ Regular Dealer FEE ONLY</p> <p>___ Trucking</p> <p>___ *Supplier 60%</p> <p>*Identify total value of work</p> <p>\$</p>	<p>\$</p>

***(1)Grading/Drainage/Pipe (2)Paving (3)GuardRail/Fence (4)Trucking (5)Flagging (6)Striping (7)Survey (8)Landscape/Erosion Control (9)Steel/Rebar (10)Utilities (11)Structure/Site Designs (12)TrafficControl (13) Demolition/Removal (14)Engineering (15) CAAD/Layout/Drafting_____.**

In connection with the project listed, I certify, the information contained herein is true, accurate and is documentable by this firm's records..

Signed: _____, Title: _____, Date: ____ / ____ / ____.

EO/SEMI-ANNUAL 3/04

ATTACHMENT-K

**GLOSSARY OF APPLICABLE TERMS
(49 CFR Part 26.5)**

Source: Federal Register Volume 64 Number 21

Glossary of Applicable Terms

26.5 Terms

Affiliation has the same meaning the term has in the Small Business Administration (SBA) regulations, 13 CFR part 121.

(1) Except as otherwise provided in 13 CFR part 121, concerns are affiliates of each other when, either directly or indirectly: (i) One concern controls or has the power to control the other; or (ii) A third party or parties controls or has the power to control both; or (iii) An identity of interest between or among parties exists such that affiliation may be found.

2) In determining whether affiliation exists, it is necessary to consider all appropriate factors, including common ownership, common management, and contractual relationships. Affiliates must be considered together in determining whether a concern meets small business size criteria and the statutory cap on the participation of firms in the DBE program.

Alaska Native means a citizen of the United States who is a person of one-fourth degree or more Alaskan Indian (including Tsimshian Indians not enrolled in the Metlaktla Indian Community), Eskimo, or Aleut blood, or a combination of those bloodlines. The term includes, in the absence of proof of a minimum blood quantum, any citizen whom a Native village or Native group regards as an Alaska Native if their father or mother is regarded as an Alaska Native. Alaska Native Corporation (ANC) means any Regional Corporation, Village Corporation, Urban Corporation, or Group Corporation organized under the laws of the State of Alaska in accordance with the Alaska Native Claims Settlement Act, as amended (43 U.S.C. 1601, et seq.).

Compliance means that a recipient has correctly implemented the requirements of this part.

Contract means a legally binding relationship obligating a seller to furnish supplies or services (including, but not limited to, construction and professional services) and the buyer to pay for them.

Contractor means one who participates, through a contract or subcontract (at any tier), in a DOT-assisted highway, transit, or airport program.

Department or DOT means the U.S. Department of Transportation, including the Office of the Secretary, the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA), and the Federal Aviation Administration (FAA).

Disadvantaged business enterprise or DBE means a for-profit small business concern--

(1) That is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and

(2) Whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it. DOT-assisted contract

means any contract between a recipient and a contractor (at any tier) funded in whole or in part with DOT financial assistance, including letters of credit or loan guarantees, except a contract solely for the purchase of land.

Good faith efforts means efforts to achieve a DBE goal or other requirement of this part which, by their scope, intensity, and appropriateness to the objective, can reasonably be expected to fulfill the program requirement.

Immediate family member means father, mother, husband, wife, son, daughter, brother, sister, grandmother, grandfather, grandson, granddaughter, mother-in-law, or father-in-law.

Indian tribe means any Indian tribe, band, nation, or other organized group or community of Indians, including any ANC, which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians, or is recognized as such by the State in which the tribe, band, nation, group, or community resides. See definition of "tribally-owned concern" in this section.

Joint venture means an association of a DBE firm and one or more other firms to carry out a single, for-profit business enterprise, for which the parties combine their property, capital, efforts, skills and knowledge, and in which the DBE is responsible for a distinct, clearly defined portion of the work of the contract and whose share in the capital contribution, control, management, risks, and profits of the joint venture are commensurate with its ownership interest.

Native Hawaiian means any individual whose ancestors were natives, prior to 1778, of the area which now comprises the State of Hawaii.

Native Hawaiian Organization means any community service organization serving Native Hawaiians in the State of Hawaii which is a not-for-profit organization chartered by the State of Hawaii, is controlled by Native Hawaiians, and whose business activities will principally benefit such Native Hawaiians. [[Page 5128]]

Noncompliance means that a recipient has not correctly implemented the requirements of this part.

Operating Administration or OA means any of the following parts of DOT: the Federal Aviation Administration (FAA), Federal Highway Administration (FHWA), and Federal Transit Administration (FTA). The "Administrator" of an operating administration includes his or her designees.

Personal net worth means the net value of the assets of an individual remaining after total liabilities are deducted. An individual's personal net worth does not include: The individual's ownership interest in an applicant or participating DBE firm; or the individual's equity in his or her primary place of residence. An individual's personal net worth includes only his or her own share of assets held jointly or as community property with the individual's spouse.

Primary industry classification means the four digit Standard Industrial Classification (SIC) code designation which best describes the primary business of a firm. The SIC code designations are described in the Standard Industry Classification Manual. As the North American Industrial

Classification System (NAICS) replaces the SIC system, references to SIC codes and the SIC Manual are deemed to refer to the NAICS manual and applicable codes. The SIC Manual and the NAICS Manual are available through the National Technical Information Service (NTIS) of the U.S. Department of Commerce (Springfield, VA, 22261). NTIS also makes materials available through its web site (www.ntis.gov/naics).

Primary recipient means a recipient which receives DOT financial assistance and passes some or all of it on to another recipient.

Principal place of business means the business location where the individuals who manage the firm's day-to-day operations spend most working hours and where top management's business records are kept. If the offices from which management is directed and where business records are kept are in different locations, the recipient will determine the principal place of business for DBE program purposes.

Program means any undertaking on a recipient's part to use DOT financial assistance, authorized by the laws to which this part applies.

Race-conscious measure or program is one that is focused specifically on assisting only DBEs, including women-owned DBEs.

Race-neutral measure or program is one that is, or can be, used to assist all small businesses. For the purposes of this part, race-neutral includes gender-neutrality.

Recipient is any entity, public or private, to which DOT financial assistance is extended, whether directly or through another recipient, through the programs of the FAA, FHWA, or FTA, or who has applied for such assistance.

Secretary means the Secretary of Transportation or his/her designee.

Set-aside means a contracting practice restricting eligibility for the competitive award of a contract solely to DBE firms.

Small Business Administration or SBA means the United States Small Business Administration.

Small business concern means, with respect to firms seeking to participate as DBEs in DOT-assisted contracts, a small business concern as defined pursuant to section 3 of the Small Business Act and Small Business Administration regulations implementing it (13 CFR part 121) that also does not exceed the cap on average annual gross receipts specified in Sec. 26.65(b).

Socially and economically disadvantaged individual means any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who is--

(1) Any individual who a recipient finds to be a socially and economically disadvantaged individual on a case-by-case basis.

(2) Any individual in the following groups, members of which are rebuttably presumed to be socially and economically disadvantaged: (i) "Black Americans," which includes persons having origins in any of the Black racial groups of Africa; (ii) "Hispanic Americans," which

includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race; (iii) ``Native Americans," which includes persons who are American Indians, Eskimos, Aleuts, or Native Hawaiians; (iv) ``Asian-Pacific Americans," which includes persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kirbati, Juvalu, Nauru, Federated States of Micronesia, or Hong Kong; (v) ``Subcontinent Asian Americans," which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka; (vi) Women; (vii) Any additional groups whose members are designated as socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective.

Tribally-owned concern means any concern at least 51 percent owned by an Indian tribe as defined in this section.

You refers to a recipient, unless a statement in the text of this part or the context requires otherwise (i.e., `You must do XYZ' means that recipients must do XYZ).

ATTACHMENT-L

**IMPOSED DBE CONTRACTOR
REPORTING FORM AND DIRECTIONS**

November 2003

Supersedes
October, 1999

IMPOSED DBE CONTRACTOR REPORTING FORM

READ AND FOLLOW THESE INSTRUCTIONS
CAREFULLY. THE CONTRACT AWARD
WILL NOT BE MADE BY MaineDOT UNLESS THE
FORM/REVIEW IS SATISFACTORILY COMPLETED.

DETAILED INSTRUCTIONS FOR COMPLETING AND SUBMITTING THIS FORM:
(Complete and submit one form for each DBE to be utilized on the project.)

- MaineDOT will set and identify the Goal for this project.
- Fill in the date you are submitting the form, and the bid opening date.
- Fill in the contract/project number.
- Name of the Contractor or Consultant.
- Name telephone number of the contact person or liaison for the Contractor/Consultant.
- Name of the DBE firm and name of the DBE firm's contact or liaison.
- Identify whether the DBE will be performing as a subcontractor, a dealer, a manufacturer, or other.
- Check DBE (Disadvantaged Business Enterprise) or WBE (Women Business Enterprise).
- Identify what the DBE participation consists of in whole or in part of one or more work items, e.g. show such item(s) in the "Item Number" and "Description" columns. Example: 203.20 - Common Excavation. Example: Bridge Design = NB SPAN I95.
- List the projected quantities/hours of work performed. Indicate when expressing "Cost" the amount you project having to pay the DBE by unit item the total for each specific item.

Page __ of __

MaineDOT GOAL for this Project is ____ %

**COMPLETE SEPARATE FORM
FOR EACH DBE FIRM**

Bid Opening Date: ____/____/____

Bid Price: \$ _____

Project location: _____

Project Number: _____

Prime Contractor: _____

Estimated Start Date: _____

Liaison: _____

Telephone Number: _____

DBE Firm _____

Liaison _____

• Sub () Dealer () Manufacturer () Other _____

• DBE () WBE ()

<u>Item Number</u>	<u>Quantity/Hours</u>	<u>Unit/Item Cost</u>	<u>Total \$ Amount</u>
<div><input type="checkbox"/></div>			

I hereby certify, on behalf of, and intending to bind, that the information contained herein is true and correct to the best of my knowledge. Further I certify that the DBE has been contacted by this Bidder and has quoted prices set forth herein. *This form must be completed and included with the bid document.*

Signature & Title of Company Official

Date

Signature & Title of MaineDOT Official

Date

**Appendix to 49 CFR 26, Individual
Determinations
of Social and Economic Disadvantage**

Appendix E to Part 26--Individual Determinations of Social and Economic Disadvantage

Source: Federal Register, Volume 64, Number 21

The following guidance is adapted, with minor modifications, from SBA regulations concerning social and economic disadvantage determinations (see 13 CFR 124.103(c) and 124.104). Social Disadvantage

I. Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias within American society because of their identities as members of groups and without regard to their individual qualities. Social disadvantage must stem from circumstances beyond their control. Evidence of individual social disadvantage must include the following elements:

(A) At least one objective distinguishing feature that has contributed to social disadvantage, such as race, ethnic origin, gender, disability, long-term residence in an environment isolated from the mainstream of American society, or other similar causes not common to individuals who are not socially disadvantaged;

(B) Personal experiences of substantial and chronic social disadvantage in American society, not in other countries; and

(C) Negative impact on entry into or advancement in the business world because of the disadvantage. Recipients will consider any relevant evidence in assessing this element. In every case, however, recipients will consider education, employment and business history, where applicable, to see if the totality of circumstances shows disadvantage in entering into or advancing in the business world.

(1) Education. Recipients will consider such factors as denial of equal access to institutions of higher education and vocational training, exclusion from social and professional association with students or teachers, denial of educational honors rightfully earned, and social patterns or pressures which discouraged the individual from pursuing a professional or business education.

(2) Employment. Recipients will consider such factors as unequal treatment in hiring, promotions and other aspects of professional advancement, pay and fringe benefits, and other terms and conditions of employment; retaliatory or discriminatory behavior by an employer or labor union; and social patterns or pressures which have channeled the individual into non-professional or non-business fields.

(3) Business history. The recipient will consider such factors as unequal access to credit or capital, acquisition of credit or capital under commercially unfavorable circumstances, unequal treatment in opportunities for government contracts or other work, unequal treatment by potential customers and business associates, and exclusion from business or professional organizations.

II. With respect to paragraph I.(A) of this appendix, the Department notes that people with disabilities have disproportionately low incomes and high rates of unemployment. Many physical and attitudinal

barriers remain to their full participation in education, employment, and business opportunities available to the general public. The Americans with Disabilities Act (ADA) was passed in recognition of the discrimination faced by people with disabilities. It is plausible that many individuals with disabilities--especially persons with severe disabilities (e.g., significant mobility, vision, or hearing impairments)--may be socially and economically disadvantaged.

III. Under the laws concerning social and economic disadvantage, people with disabilities are not a group presumed to be disadvantaged. Nevertheless, recipients should look carefully at individual showings of disadvantage by individuals with disabilities, making a case-by-case judgment about whether such an individual meets the criteria of this appendix. As public entities subject to Title II of the ADA, recipients must also ensure their DBE programs are accessible to individuals with disabilities. For example, physical barriers or the lack of application and information materials in accessible formats cannot be permitted to thwart the access of potential applicants to the certification process or other services made available to DBEs and applicants.

Economic Disadvantage

(A) General. Economically disadvantaged individuals are socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same or similar line of business who are not socially disadvantaged.

(B) Submission of narrative and financial information.

(1) Each individual claiming economic disadvantage must describe the conditions which are the basis for the claim in a narrative statement, and must submit personal financial information.

(2) When married, an individual claiming economic disadvantage also must submit separate financial information for his or her spouse, unless the individual and the spouse are legally separated.

(C) Factors to be considered. In considering diminished capital and credit opportunities, recipients will examine factors relating to the personal financial condition of any individual claiming disadvantaged status, including personal income for the past two years (including bonuses and the value of company stock given in lieu of cash), personal net worth, and the fair market value of all assets, whether encumbered or not. Recipients will also consider the financial condition of the applicant compared to the financial profiles of small businesses in the same primary industry classification, or, if not available, in similar lines of business, which are not owned and controlled by socially and economically disadvantaged individuals in evaluating the individual's access to credit and capital. The financial profiles that recipients will compare include total assets, net sales, pre-tax profit, sales/ working capital ratio, and net worth.

(D) Transfers within two years.

(1) Except as set forth in paragraph (D)(2) of this appendix, recipients will attribute to an individual claiming disadvantaged status any assets which that individual has transferred to an

immediate family member, or to a trust, a beneficiary of which is an immediate family member, for less than fair market value, within two years prior to a concern's application for participation in the DBE program, unless the individual claiming disadvantaged status can demonstrate that the transfer is to or on behalf of an immediate family member for that individual's education, medical expenses, or some other form of essential support.

(2) Recipients will not attribute to an individual claiming disadvantaged status any assets transferred by that individual to an immediate family member that are consistent with the customary recognition of special occasions, such as birthdays, graduations, anniversaries, and retirements.

(3) In determining an individual's access to capital and credit, recipients may consider any assets that the individual transferred within such two-year period described by paragraph (D)(1) of this appendix that are not considered in evaluating the individual's assets and net worth (e.g., transfers to charities).

**APPENDIX TO 49 CFR 26, GUIDANCE
CONCERNING GOOD FAITH EFFORTS**

Appendix A to Part 26--Guidance Concerning Good Faith Efforts

Source: Federal Register, Volume 64, Number 21

I. When, as a recipient, you establish a contract goal on a DOT- assisted contract, a bidder must, in order to be responsible and/or responsive, make good faith efforts to meet the goal. The bidder can meet this requirement in either of two ways. First, the bidder can meet the goal, documenting commitments for participation by DBE firms sufficient for this purpose. Second, even if it doesn't meet the goal, the bidder can document adequate good faith efforts. This means that the bidder must show that it took all necessary and reasonable steps to achieve a DBE goal or other requirement of this part which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if they were not fully successful.

II. In any situation in which you have established a contract goal, part 26 requires you to use the good faith efforts mechanism of this part. As a recipient, it is up to you to make a fair and reasonable judgment whether a bidder that did not meet the goal made adequate good faith efforts. It is important for you to consider the quality, quantity, and intensity of the different kinds of efforts that the bidder has made. The efforts employed by the bidder should be those that one could reasonably expect a bidder to take if the bidder were actively and aggressively trying to obtain DBE participation sufficient to meet the DBE contract goal. Mere pro forma efforts are not good faith efforts to meet the DBE contract requirements. We emphasize, however, that your determination concerning the sufficiency of the firm's good faith efforts is a judgment call: meeting quantitative formulas is not required.

III. The Department also strongly cautions you against requiring that a bidder meet a contract goal (i.e., obtain a specified amount of DBE participation) in order to be awarded a contract, even though the bidder makes an adequate good faith efforts showing. This rule specifically prohibits you from ignoring bona fide good faith efforts.

IV. The following is a list of types of actions which you should consider as part of the bidder's good faith efforts to obtain DBE participation. It is not intended to be a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases.

A. Soliciting through all reasonable and available means (e.g. attendance at pre-bid meetings, advertising and/or written notices) the interest of all certified DBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the DBEs to respond to the solicitation. The bidder must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations.

B. Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces.

C. Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.

D. (1) Negotiating in good faith with interested DBEs. It is the bidder's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for DBEs to perform the work.

(2) A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding and using DBEs is not in itself sufficient reason for a bidder's failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Prime contractors are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.

E. Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor's efforts to meet the project goal.

F. Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contractor.

G. Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.

H. Effectively using the services of available minority/women community organizations; minority/women contractors' groups; local, state, and Federal minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.

V. In determining whether a bidder has made good faith efforts, you may take into account the performance of other bidders in meeting the contract. For example, when the apparent successful bidder fails to meet the contract goal, but others meet it, you may reasonably raise the question of whether, with additional reasonable efforts, the apparent successful bidder could have met the goal. If the apparent successful bidder fails to meet the goal, but meets or exceeds the average DBE participation obtained by other bidders, you may view this, in conjunction with other factors, as evidence of the apparent successful bidder having made good faith efforts.

ATTACHMENT-O

**CERTIFICATION OF FINAL
DBE PAYMENT: ALL MODES**

CERTIFICATION OF FINAL DBE PAYMENT

Contractor submit to: Kevin Hanlon, MaineDOT Capitol Resources Contract Section with final Project documentation.

Consultant submit to Project Manager with final Project documentation.

Complete one form for each DBE Participant

Project Number and Location: _____

Total DBE Participation \$ _____ % _____

In connection with the above referenced contract we the undersigned, jointly certify and attest the following information to be true.

1. DBE Firm: _____
2. Describe work performed by DBE on this project: _____

3. Total amount paid to DBE to date: \$ _____
4. Total amount remaining to be paid to DBE \$ _____
5. Is amount paid to DBE expected to increase when final invoice is submitted:
Yes ____ No ____
6. If yes, approximately how much? \$ _____

Attest:

CONTRACTOR/CONSULTANT

DBE

(Firm's Name)

(Firm's Name)

(Signature)

(Signature)

(Title)

(Title)

(Date Signed)

(Date Signed)